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PATENT, TRADEMARK OFFICE

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Fauver et al.

Attorney Docket No. UNIV0130

Serial No.: 09/994,377

Group Art Unit: 2874

Filed: November 26, 2001

Examiner:

Title: MICRO-FABRICATED OPTICAL WAVEGUIDE FOR USE IN SCANNING  
FIBER DISPLAYS AND SCANNED FIBER IMAGE ACQUISITION

RECEIVED  
APR 12 2002  
TECHNICALINFORMATION DISCLOSURE STATEMENT

Bellevue, Washington 98004

April 3, 2002

TO THE DIRECTOR OF THE PATENT AND TRADEMARK OFFICE:

Applicant is aware of the information listed in the attached form that may be material to the prosecution of the above-identified patent application.

- ☒ 1. Copies of the listed patents, publications, and other information are enclosed for the Examiner's use.
- ☐ 2. Copies of the listed patents, publications, and other information were previously cited by or submitted to the U.S. Patent and Trademark Office in prior application Serial No. \_\_\_\_\_, filed \_\_\_\_\_, and relied upon for an earlier filing date under 35 U.S.C. § 120.
- ☐ 3. A concise explanation of the relevance of document I.D. No. \_\_\_\_\_ (which is not in the English language), as presently understood by the individual designated under 37 C.F.R. § 1.56(c) most knowledgeable about its content, is provided \_\_\_\_\_.
- ☒ 4. Pursuant to 37 C.F.R. § 1.97(b), this information disclosure statement is being filed within three months of the filing date of the national application, within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, or before the mailing date of a first Office Action on the merits.
- ☐ 5. Pursuant to 37 C.F.R. § 1.97(c), this information disclosure statement is being filed after the period set forth in 37 C.F.R. § 1.97(b) but before the mailing date of either a final action under 37 C.F.R. § 1.113, or a notice of allowance under 37 C.F.R. § 1.311, and is accompanied by:
- a. \_\_\_\_\_ a certification as specified in 37 C.F.R. § 1.97(e); or
- b. \_\_\_\_\_ the fee set forth in 37 C.F.R. § 1.17(p). Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ is enclosed.

1        6.        Pursuant to 37 C.F.R. § 1.97(d), this information disclosure statement is being filed  
2        after the mailing date of either:

3        a.        \_\_\_\_\_ a final action under 37 C.F.R. § 1.113; or

4        b.        \_\_\_\_\_ a notice of allowance under 37 C.F.R. § 1.311,

5                but before payment of the issue fee. The statement is accompanied by a  
6                certification as specified in 37 C.F.R. § 1.97(e), a petition requesting  
7                consideration of the information disclosure statement, and the petition fee set  
8                forth in 37 C.F.R. § 1.17(i)(1). Check No. \_\_\_\_\_ in the amount of  
9                \$\_\_\_\_ is enclosed.

10          X   7.        Please charge any additional fees or credit any overpayment to Deposit Account  
11        No. 01-1940. A copy of this sheet is enclosed.

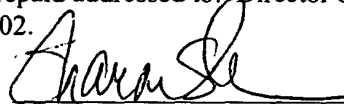
12                                Respectfully submitted,

13                                

14                                Ronald M. Anderson  
15                                Registration No. 28,829

16        I hereby certify that this correspondence is being deposited with the U.S. Postal Service in a sealed  
17        envelope as first class mail with postage thereon fully prepaid addressed to: Director of the Patent and  
18        Trademark Office, Arlington, VA 22202, on April 3, 2002.

19        Date: April 3, 2002

20                                



## INFORMATION DISCLOSURE STATEMENT LISTING SHEET

### Information Cited By Applicant(s) That May Be Material To The Prosecution Of The Subject Application

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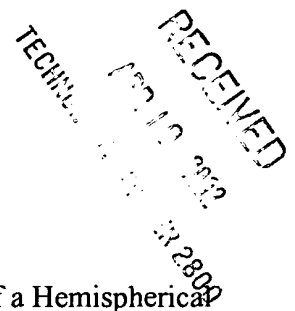
Title: MICRO-FABRICATED OPTICAL WAVEGUIDE FOR USE IN SCANNING  
FIBER DISPLAYS AND SCANNED FIBER IMAGE ACQUISITION

### U.S. PATENT DOCUMENTS

*Examiner Initial	ID	Document No.	Date	Name	Class	Sub-Class
	US1	4,118,270	10/03/1978	Pan et al.	156	659
	US2	4,265,699	05/05/1981	Ladany	156	657
	US3	4,410,235	10/18/1983	Klement et al.	350	96.18
	US4	4,824,195	04/25/1989	Khoe	350	96.18
	US5	5,037,174	08/06/1991	Thompson	385	33
	US6	5,247,174	09/21/1993	Berman	250	235
	US7	5,272,330	12/21/1993	Betzig et al.	250	216
	US8	5,394,500	02/28/1995	Marchman	385	123
	US9	5,459,803	10/17/1995	Yamane et al.	385	33
	US10	5,480,046	01/02/1996	Filas et al.	216	7
	US11	5,563,969	10/08/1996	Honmou	385	35
	US12	5,570,441	10/29/1996	Filas et al.	385	43
	US13	5,703,979	12/30/1997	Filas et al.	385	43
	US14	5,727,098	03/10/1998	Jacobson	385	31
	US15	6,046,720	04/04/2000	Melville et al.	345	108
	US16	6,294,775	09/25/2001	Seibel et al.	250	208.1
	US17	6,327,493	12/04/2001	Ozawa et al.	600	476
	US18	6,091,067	07/18/2000	Drobot et al.	250	234

### FOREIGN PATENT DOCUMENTS

NONE CITED



### OTHER INFORMATION

<u>*Examiner</u> <u>Initial</u>	<u>Document</u> <u>No.</u>	<u>Document Information</u>
_____	O1	Yamada, Jun-Ichi et al. October 1980. Characteristics of a Hemispherical Microlens for Coupling Between a Semiconductor Laser and Single-Mode Fiber. <i>IEEE J. Quant. Electron.</i> QE-16:10:1067-1072.
_____	O2	Russo, Vera et al. October 1, 1984. Lens-ended Fibers for Medical Applications: A New Fabrication Technique. <i>Appl. Opt.</i> 23:19:3277-3283
_____	O3	Lee, Kyung S. and Frank S. Barnes. October 1, 1985. Microlenses on the End of Single-mode Optical Fibers for Laser Applications. <i>Appl. Opt.</i> 24:19:3134-3139.
_____	O4	Barnard, Chris W. and John W. Y. Lit. May 20, 1991. Single-mode Fiber Microlens with Controllable Spot Size. <i>Appl. Opt.</i> 30:15:1958-1962.
_____	O5	Barnard, Chris W. and John W. Y. Lit. April 20, 1993. Mode Transforming Properties of Tapered Single-mode Fiber Microlens. <i>Appl. Opt.</i> 30:15:1958-1962..

\_\_\_\_\_  
Examiner's Signature

\_\_\_\_\_  
Date

\*Examiner: Initial if reference considered, whether or not citation is in conformance with M.P.E.P. § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

RMA:ssa  
4/3/02